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APR 01 2002

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3:22PM

CALIPER TECHNOLOGIES 650 6230504

NO. 049

P. 3/14

(Modified) PTO/SB/21 (12-97)

For use through 9/30/00 OMB 0651-0031

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

09/993,385

Filing Date

November 14, 2001

First Named Inventor

Parce

Group Art Unit

2812

Examiner Name

Attorney Docket No.

100/11420

COPY OF PAPERS
ORIGINALLY FILED
02/18/02

Total number of pages This Submission

ENCLOSURES (check all that apply)

☒ Fee Transmittal Form
(In duplicate)

☐ Fee Attached

☐ No Fee Required

☐ Amendment/Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Info. Disc. Stmt. (2 pages)

☐ Certified Copy of Priority
Document(s)

☐ Response to Missing
Parts/Incomplete Application

☒ Response to Missing Parts
under 37 CFR 1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawings

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69) and
Accompanying Petition

☐ To Convert a Provisional Application

☐ Power of Attorney, Revocation Change
of Correspondence Address

☐ Terminal Disclaimer

☐ Small Entity Statement

☐ Request for Refund

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Additional Enclosure(s)
(please identify below):

Declaration

Assignee Power of Attorney

3.73(b) Certificate

Copy of Notice of Missing Parts

IDS

PTO Form 1449

Authorization to Charge Deposit Account

Please charge Deposit Account No. 03-0177 for any additional fees associated with this
paper or during the pendency of this application.

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Individual
Name

Matthew B. Murphy

Reg.
No.

39,787

Signature

Date

1/30/02

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an
envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date:

January 30, 2002

Typed or Printed Name

Michelle Chan

Signature

Michelle Chan

Date:

January 30, 2002

OIPF

APR 1 2002

3:22PM

CALIPER TECHNOLOGIES 650 6230504

NO. 049

P. 4/14

APR 01 2002

(Modified) PTO/SB/17 (11-01)

FEE TRANSMITTAL
for FY 2002Patent fees are subject to annual revision
Applicant claims small entity status. See 37 CFR 1.27

Complete if Known

Application Number	09/893,385
Filing Date	November 14, 2001
First Named Inventor	Parce
Examiner Name	
Group/Art Unit	2812
Attorney Docket No.	100/11420

TOTAL AMOUNT OF PAYMENT \$1,530

METHOD OF PAYMENT (check one)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

Deposit Acct. No. **03-0177**
 Deposit Acct. Name **Caliper Technologies Corp.**

The Commissioner is authorized to: (Check all that apply)

- ☒ Charge the fees indicated below
☒ Charge any additional fee(s) during the pendency of this application
☒ Credit any overpayments

FEE CALCULATION

1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	390	206	186	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	180	214	80	Provisional filing fee	
SUBTOTAL (1)					740

2. EXTRA CLAIM FEES

Total claims	Extra claims	Fee from below	Fee Paid
independent	52 - 20** = 32 x	18 =	576
Multiple Dependent	4 - 3** = 1	84 =	84

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claims, if new	
109	84	209	42	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					660

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	190	205	65	Surcharge - late filing fee or oath	130
127	50	227	25	Surcharge - late provisional filing cover sheet	
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for ex parte reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	400	216	200	Extension for response within second month	
117	920	217	460	Extension for response within third month	
118	1440	218	720	Extension for response within fourth month	
128	1960	228	980	Extension for response within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	260	221	140	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1260	241	640	Petition to revive - unintentional	
142	1280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
195	300	195	300	Publication Fee	

Other fee (specify)

Other fee (specify)

SUBTOTAL (3) \$130

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Typed or Printed Name **Matthew B. Murphy**

Signature

Date

1/30/02

Reg. Number

Complete (if applicable)

39,787

Deposit Account User ID

03-0177

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231 on this date:

January 30, 2002

Typed or Printed Name

Michelle Chan

Signature

Michelle Chan

Date

January 30, 2002

OFFICIAL COMMUNICATIONOIP
APR 01 2002**Certificate of Transmission under 37 CFR 1.8**

I hereby certify that the following documents are being facsimile transmitted to the Patent and Trademark Office for the patent application identified below:

Examiner: **Unknown**

Technology Center: **Unknown**

Fax No.: **(703) 746-4060**

USPN: **09/993,385**

Filed: **November 14, 2001**

Inventor(s): **Parce et al.**

Title: **Control of Operation Conditions within Fluidic Systems**

Document(s): **Request for Substitute Papers**

Copy of 1/30/2002 papers

Total Number of Pages, including Certificate: **14**

On April 1, 2002

Michelle Chan

Signature

Michelle Chan

Typed or printed name of person signing Certificate



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20230
www.uspto.gov

Application Number	Filing Date	First Named Applicant	Atty. Docket No.
09/993,385	11/14/2001	Parce, J.	100/11420US

21569
CALIPER TECHNOLOGIES CORP
605 FAIRCHILD DRIVE
MOUNTAIN VIEW CA 94043

APR 01 2002

Title: Control of operation conditions within fluidic systems

Date Mailed: 03/28/2002

Request for Substitute Papers

The papers filed on 02/19/02, (certificate of mailing dated 01/30/02) are no longer in condition to become part of the permanent records of the United States Patent and Trademark Office (USPTO) for this application (37 CFR 1.52(a)) due to the United States Postal Service sanitization process.

The USPTO requests that applicant provide a copy of the above-identified papers (except for any U.S. or foreign patent documents submitted with the above-identified papers) with a statement that such copy is a complete and accurate copy of the above-identified papers (signing and returning a copy of this notice will provide such a statement). The reply to this letter should be submitted to the USPTO by facsimile at the number indicated 703-746-4060(OIPE).

Alternatively, the reply to this letter may be hand-carried to the Customer Service Window located in Room 1B03 of Crystal Plaza Building 2, Arlington, Virginia, 22202.

The USPTO strongly prefers that the reply to this letter be submitted by facsimile. However, if applicant cannot submit the reply to this letter by facsimile (or hand-delivery), the reply may be mailed to: Box Duplicate OIPE, U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, VA 22202-2327.

This letter is not a notice under 37 CFR 1.251. However, failure to timely replay to this notice within two (2) weeks of the date of receipt of this letter may result in the USPTO issuing a notice under 37 CFR 1.251. A copy of this notice should be included with the reply.

The enclosed papers are a complete and accurate copy of the above-identified papers.

Name: ANDREW L. FILLER Registration No.: 44,107

Signature: Andy Filler Date: 4-1-02



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/993,385	11/14/2001	J. Wallace Parce	100/11420US

021569
CALIPER TECHNOLOGIES CORP
605 FAIRCHILD DRIVE
MOUNTAIN VIEW, CA 94043COPY OF PAPERS
ORIGINALLY FILED
02119182CONFIRMATION NO. 9961
FORMALITIES LETTER

OC00000007188456

Date Mailed: 12/13/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$660.
 - \$576 for 32 total claims over 20.
 - \$84 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1530.

04/09/2002 SSALKEKU 00000004 030177 09993385

01 FC:103 576.00 CH

*A copy of this notice **MUST** be returned with the reply.*Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE